

**CITY OF BELMONT  
DISADVANTAGED BUSINESS ENTERPRISE (DBE) PROGRAM  
OVERALL ANNUAL DBE GOAL AND PROCESS  
FOR  
FEDERAL FISCAL YEAR (FFY) 2001/02**

**I. DOT-ASSISTED CONTRACTING PROGRAM FOR FFY 2000/01**

The table on the next pages represents six Dept of Transportation-assisted (DOT) projects the City of Belmont considered in the overall goal-setting process for FFY 2001/02. Five out of six projects have subcontracting opportunities. Four out of six projects have subcontracting DBE opportunities.

The table identifies the Estimated Federal Dollar Share and the Percent of Federal Funding of each primary work category utilizing Caltrans' Work Category Codes (WCC) and comparable 1999 Census Business Patterns database North American Industry Classification System (NAICS) Work Codes.

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**Please see DBE WCC Percentages FY02 Table**

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**Please see DBE WCC Percentages FY02 Table**

## II. GOAL-SETTING PROCESS:

### *Step 1: Determination of a Base Figure for the Overall Annual Goal (26.45)*

To begin the goal-setting process, the City of Belmont determined the Base Figure for the relative availability of DBEs, by following one of the five examples of approaches set forth in §26.45 of the regulations. The following data sources were immediately available to the City of Belmont:

#### *For the numerator:*

The City of Belmont utilized the **Caltrans Bulletin Board System (BBS) Directory of Certified DBE Firms** to determine the number of ready, willing and able DBEs in the City of Belmont's market area (further defined as Alameda, San Francisco, San Mateo and Santa Clara Counties). The work files (CALCERT.exe, WCC.exe, WCDEF.xls and WCCFIRMS.xls) were downloaded from Caltrans DBE website (<http://www.dot.ca.gov/hq/bep/downloads.html>).

#### *For the denominator:*

The City of Belmont utilized the **1999 U.S. Census Bureau County Business Patterns (CBP) Database** ([http://tier2.census.gov/cbp\\_naics/index.html](http://tier2.census.gov/cbp_naics/index.html)) to determine the number of ready, willing and able businesses available in the City of Belmont's market area (further defined as Alameda, San Francisco, San Mateo and Santa Clara Counties).

The City of Belmont made a concerted effort to ensure that:

- a) The scope of businesses included in the numerator is as close as possible to the scope included in the denominator.
- b) The NAICs codes included in the denominator is as close as possible to the Caltrans Work Category Codes (WCC) included in the numerator. This was accomplished by utilizing the conversion table between WCC and NAICs work codes provided by Caltrans.
- c) The geographic base included in the numerator is as close as possible to the U.S. Census Bureau County Business Patterns Database. This was accomplished by determining the corresponding zip codes for each county, within City of Belmont's market area.

### *Step 2: Adjusting the Base Figure*

Upon establishing the Base Figure, the City reviewed and assessed other known relevant evidence potentially impacting the relative availability of DBE within the City's market area in accordance with prescribed narrow tailoring provisions set forth under 49 CFR Part 26. Evidence considered in making an adjustment to the Base Figure included the *City's Past DBE*

*Participation Goals and Actual Attainments on Similar Projects, Bidders List and Disparity Study.* A summary of these considerations follows:

***A. Proven Capacity of DBEs Measured By Actual Attainments***

The City of Belmont has not done recent similar DOT-assisted projects.

***B. City's Bidders List***

While a Bidders List would serve as quantifiable evidence of DBEs demonstrated interest and capacity, the City has not established a tailored Bidders List. However, the City will in accordance with Caltrans procedures institute program requirements to capture such information from all bidders and will utilize all relevant information in future goal-setting analysis.

***C. Evidence from Disparity Studies***

The City of Belmont is not aware of any current disparity studies with the City's jurisdiction for consideration in the goal analysis.

**Resultant Base Figure**

In lieu of historical data and considering Caltrans' Overall Annual Goal of 10%, the rounding up of the Base Figure of 3.53% to 4% is deemed appropriate. The goal-setting process is a new procedure undertaken by the City of Belmont. Additionally, in the past, local agencies, had always adopted Caltrans' Overall Annual Goal of 10% . For future goal-setting process, the City of Belmont will have the opportunity to fine tune the process each year as the City's experience grows and relevant data available will be available, as well as current data will improve.

In conclusion, after careful consideration of the above-named evidence/factors, the Overall Annual DBE Goal for the City of Belmont for FFY 2001/021 is 4%.

**II. OVERALL ANNUAL GOAL AND PROJECTION OF RACE-NEUTRAL AND RACE-CONCIOUS PARTICIPATION:**

The Overall Annual (FFY 2001/02) DBE Goal for the City of Belmont's DOT-assisted contracts is **4%**. The overall goal is expressed as a percentage of all DOT-assisted funds that the City of Belmont will expend in FHWA-assisted contracts in the forthcoming fiscal year.

This goal further serves to identify the relative availability of DBEs based on evidence of ready, willing, and able DBEs to all comparable firms, which are known to be available to compete for and perform on the City of Belmont's DOT-assisted contracts. The Overall Annual Goal reflects a determination of the level of DBE participation, which would be expected absent the effects of discrimination. The City of Belmont projects to meet 4% of the goal utilizing race-conscious measures, including utilizing contract-specific numeric goals, as necessary to achieve the overall goal.

### **III. PUBLIC PARTICIPATION AND FACILATION**

In conformance with Public Participation Regulatory Requirements of 49 CFR Part 26 and Caltrans Local Assistance Procedures Manual (LAPM), this goal analysis will be reviewed with minority, women, local business chambers, and community organizations within the City of Belmont's geographic market area.

Additionally, the City of Belmont will publish a Public Notice in general circulation media announcing the City of Belmont's proposed Overall Annual Goal for the FFY 2001/02 DOT-assisted contracts. Such Notice will inform the public that the proposed goal and its rationale is available for inspection at the City of Belmont's principal office during normal business hours for 30 days following the date of the Public Notice and that the City of Belmont will accept comments on the goal analysis for 45 days from the date of the Public Notice. The required public participation provisions will be fully satisfied prior to submitting the City of Belmont's DBE Program and Overall Annual DBE Goal to Caltrans for final review and approval.



# APPENDIX

The following pages provide the detail information for the *Total Amount Subcontracted to DBE* table on page 2.

Sources of information are as follows:

Files WCC.EXE and CALCERT.EXE were downloaded from Caltrans DBE website  
<http://www.dot.ca.gov/hq/bep/downloads.html>.

WCC.EXE provided the listing of Work Classification Codes (WCC) and their description. It lists both Caltrans and OSBCR codes by identifying number and text description. It is updated only when WCC's change and was last updated April 27, 1999.

CALCERT.EXE contained three database files: Calwcc.dbf, Calpgm.dbf, Calbe.dbf. These databases were downloaded into Microsoft Access so that they may be linked to each other for the necessary queries made in deriving the Total No. of DBE Businesses that work in the specified counties per type of WCC. The CALCERT.EXE file provides both Caltrans and Participating Agencies (PA) current information on certified firms. It is updated each Monday (Tuesday when holiday falls on Monday).

Additional databases:

WCDEF.xls. This section contains 1987 SIC Codes and the 1997 NAICS Codes related to Work Category Code (WCC) for Construction codes only. It shows the correlation between WCC and SIC and NAICS.

The Total # of Businesses information was taken from the County Business Pattern database at <http://www.census.gov/epcd/cbp/view/cbpview.html>. This provides the total no. of businesses per specified NAICS.